

**UNITED STATES OF AMERICA
BEFORE THE NATIONAL LABOR RELATIONS BOARD
DIVISION OF JUDGES, SAN FRANCISCO OFFICE**

CHARLES SCHWAB & CO., INC.

and

Cases 27–CA–184730

MICHELLE HUSTON, An Individual

INVITATION TO FILE SUPPLEMENTAL BRIEFS

The parties are invited to file supplemental briefs, on or before June 21, responding to the arguments and authorities cited in the opposing party's original brief filed on June 13. The parties are also invited to address in their supplemental briefs whether the following statutory or regulatory provisions, which have not to date been cited or discussed, are applicable to Schwab's securities brokerage and/or banking employees and provide relevant factual context to evaluating whether the subject misconduct rule prohibiting acts of misrepresentation or other misleading conduct is unlawfully overbroad as alleged in the complaint:

15 U.S.C. § 77q(a)

15 U.S.C. § 78j(b); and 17 C.F.R. §240.10b-5

15 U.S.C. §§ 77k(a) and 77l(a)

15 U.S.C. § 78o(b)(4)

12 U.S.C. §1467a(r)

FINRA Rule 2210 (Communications with the Public)

Dated, San Francisco, June 14, 2017.



Jeffrey D. Wedekind
Administrative Law Judge

Served by email upon the following:

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